

08/818534



03/14/97

PATENT

Docket No. 3922

Box Patent Application
 Commissioner of Patents
 and Trademarks
 Washington, D.C. 20231

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): Wilfred H. Nelson and Jay F. Sperry

WARNING: Patent must be applied for in the name(s) of all of the actual inventor(s). 37 CFR 1.41(a) and 1.53(b).

For (title): Direct Detection of Bacteria-Antibody Complexes Via UV Resonance Raman Spectra

1. Type of Application

This new application is for a(n) (check one applicable item below):

- ☒ Original
☐ Design
☐ Plant

NOTE: If one of the following 3 items apply then complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF A PRIOR U.S. APPLICATION CLAIMED and a NOTIFICATION IN PARENT APPLICATION OF THE FILING OF THIS CONTINUATION APPLICATION.

- ☐ Divisional
☐ Continuation
☐ Continuation-in-part (CIP)

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date 03/14/97 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EM585001762US addressed to the: Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Tracy A. Sivacek

(Type or print name of person mailing paper)

Tracy A. Sivacek
 (Signature of person mailing paper)

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2. Benefit of Prior U.S. Application(s) (35 USC 120)

NOTE: If the new application being transmitted is a divisional continuation or a continuation-in-part of a parent case, or where the parent case is an International Application which designated the U.S., then check the following item and complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.

— The new application being transmitted claims the benefit of prior U.S. application(s) and enclosed are ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.

3. Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b) (Regular) or 37 CFR 1.153 (Design) Application

8 Pages of specification

2 Pages of claims

— Pages of Abstract

1 Sheets of drawing

NOTE: "Identifying indicia such as the serial number, group and unit, title of the invention, attorney's docket number, inventor's name, number of sheets, etc., not to exceed 2 3/4 inches (7.0 cm) in width may be placed in a centered location between the side edges within three fourths inch (19.1 mm) of the top edge. Either this marking technique on the front of the drawing or the placement, although not preferred, of this information and the title of the invention on the back of the drawings is acceptable." Proposed 37 CFR 1.84(1). Notice of March 9, 1988 (1090 O.G. 57-62).

4. Additional papers enclosed

— Preliminary Amendment

— Information Disclosure Statement (37 CFR 1.98)

— Form PTO-1449

— Citations

— Declaration of Biological Deposit

— Submission of "Sequence Listing," computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.

— Authorization of Attorney(s) to Accept and Follow Instructions from Representative

— Special Comments

— Other

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5. Declaration or oath

- ☐ Enclosed
executed by (check all applicable boxes)
- ☐ inventor(s).
- ☐ legal representative of inventor(s). 37 CFR 1.42 or 1.43
- ☐ joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached.
- ☐ this is the petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is also attached. See Item 13 below for fee.

☒ Not Enclosed.

☒ Application is made by a person authorized under 37 CFR 1.41(c) on behalf of all the above named inventor(s). (The declaration or oath, along with the surcharge required by 37 CFR 1.16(e) can be filed subsequently).

NOTE: It is important that all the correct inventor(s) are named for filing under 37 CFR 1.41(c) and 1.53(b).

☐ Showing that the filing is authorized. (Not required unless called into question. 37 CFR 1.41(d).

6. Inventorship Statement

WARNING: If the named inventors are each not the inventors of all the claims an explanation, including the ownership of the various claims at the time the last claimed invention was made, should be submitted.

The inventorship for all the claims in this application are:

- ☒ The same or
- ☐ Are not the same. An explanation, including the ownership of the various claims at the time the last claimed invention was made.
- ☐ is submitted.
- ☐ will be submitted.

7. Language

- ☒ English
- ☐ non-English
- ☐ the attached translation is a verified translation. 37 CFR 1.52(d).

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8. Assignment

X An assignment of the invention to The Board of Governors for Higher Education, State of Rhode Island and Providence Plantations

— is attached. A separate _____ "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" or _____ FORM PTO 1595 is also attached.

X will follow.

NOTE: "If an assignment is submitted with a new application, send two separate letters-one for the application and one for the assignment." Notice of May 4, 1990 (1114 O.G. 77-78).

9. Certified Copy

Certified copy(ies) of application(s)

| (country) | (appln. no.) | (filed) |
|-----------|--------------|---------|
|-----------|--------------|---------|

| (country) | (appln. no.) | (filed) |
|-----------|--------------|---------|
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| (country) | (appln. no.) | (filed) |
|-----------|--------------|---------|
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from which priority is claimed

— is(are) attached.

— will follow.

10. Fee Calculation (37 CFR 1.16)

A. X Regular application

| CLAIMS AS FILED | | | | | | |
|---|--------|--------------|--|-----------|--|---|
| Number filed | | Number Extra | | Rate | | Basic Fee 37 CFR 1.16(a) \$770.00 |
| Total | | | | | | |
| Claims (37 CFR 1.16(c)) | 6 -20= | 0 | | X \$22.00 | | \$ 0.00 |
| Independent | | | | | | |
| Claims (37 CFR 1.16(b)) | 2-3= | 0 | | X \$80.00 | | \$ 0.00 |
| Multiple dependent claim(s), if any (37 CFR 1.16(d)) | | | | \$260.00 | | \$260.00 |

— Amendment cancelling extra claims enclosed.

— Amendment deleting multiple dependencies enclosed.

— Fee for extra claims is not being paid at this time.

NOTE: If the fees for extra claims are not paid on filing they must be paid or the claims cancelled by amendment, prior to the expiration of the time period set for response by the Patent and Trademark Office in any notice of fee deficiency. 37 CFR 1.16(d).

Filing Fee Calculation

\$ 1,030.00

- B. ☐ **Design application**
(\$300.00--37 CFR 1.16(f))
Filing Fee Calculation \$ _____
- C. ☐ **Plant application**
(\$490.00--37 CFR 1.16(9))
Filing fee calculation \$ _____

11. Small Entity Statement(s)

☐ Verified Statement(s) that this is a filing by a small entity under 37 CFR 1.9 and 1.27 is(are) attached.

Filing Fee Calculation (50% of A, B or C above) \$ _____

12. Request for International-Type Search (37 CFR 1.104(d)) (complete, if applicable)

☐ Please prepare an international-type search report for this application at the time when national examination on the merits takes place.

13. Fee Payment Being Made At This Time

☐ Not Enclosed

☐ No filing fee is to be paid at this time. (This and the surcharge required by 37 CFR 1.16(e) can be paid subsequently.)

☒ Enclosed

☒ basic filing fee \$ 1,030.00

☐ recording assignment
(\$40.00; 37 CFR 1.21 (h)) \$ _____

☐ petition fee for filing by other
than all the inventors or person
on behalf of the inventor where
inventor refused to sign or cannot
be reached. (\$130.00; 37 CFR 1.47
and 1.17(h)) \$ _____

☐ for processing an application
with a specification in a non-
English language. (\$130.00; 37
CFR 1.52(d) and 1.17(k)) \$ _____

☐ processing and retention fee
(\$130.00; 37 CFR 1.53(d) and
1.21 (l)) \$ _____

☐ fee for international-type
search report (\$35.00; 37 CFR
1.21 (e)). \$ _____

Total fees enclosed \$ 1,030.00

14. Method of Payment of Fees

X Check in the amount of \$ 1,030.00

— Charge Account No. _____ in the amount of \$ _____. A duplicate of this transmittal is attached.

NOTE: Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 CFR 1.22(b).

15. Authorization to Charge Additional Fees

WARNING: If no fees are to be paid on filing the following items should not be completed.

WARNING: Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges, if extra claim charges are authorized.

X The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No. 19-0079:

X 37 CFR 1.16(a), (f) or (g) (filing fees)

X 37 CFR 1.16(b), (c) and (d) (presentation of extra claims)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 CFR 1.16(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

X 37 CFR 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)

X 37 CFR 1.17 (application processing fees)

— 37 CFR 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 CFR 1.311 (b))

16. Instructions As To Overpayment

X credit Account No. 19-0079

— refund

Reg. No. 24,445

Tel. No. (617) 426-9180
Extension 122


SIGNATURE OF ATTORNEY

Richard L. Stevens
Type or print name of attorney

Samuels, Gauthier, Stevens & Reppert
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225 Franklin Street, Suite 3300
Boston, Massachusetts 02110

Incorporation by reference of added pages

Check the following item if the application in this transmittal claims the benefit of prior U.S. application(s) (including an international application entering the U.S. stage as a continuation, divisional or C-I-P application) and complete and attach the ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED

☐ Plus Added Pages For New Application Transmittal Where Benefit Of Prior U.S. Application(s) Claimed

Number of pages added _____

☐ Plus Added Pages For Papers Referred To In Item 4 Above

Number of pages added _____

☐ Plus "Assignment Cover Letter Accompanying New Application"

Number of pages added _____

☒ **Statement Where No Further Pages Added**

(If no further pages form a part of this Transmittal then end this Transmittal with this page and check the following item)

☒ This transmittal ends with this page.

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